

NSF Update

Spring 2015



National Science Foundation
WHERE DISCOVERIES BEGIN

Topics

- Personnel Update
- FY 2016 Budget Information
- *Proposal & Award Policies & Procedures Guide (PAPPG) Update*
 - Uniform Guidance Implementation
 - Other Significant Policy Changes
- Revision of NSF Award Conditions to implement the Uniform Guidance
- Frequently Asked Questions
- Automated Compliance Checking
- FastLane Modernization with Research.gov

Personnel Update



Rebecca Spyke Keiser, selected as
Head, Office of International Science
& Engineering



Dr. James Olds, selected as
Assistant Director for Biological
Sciences

Personnel Update

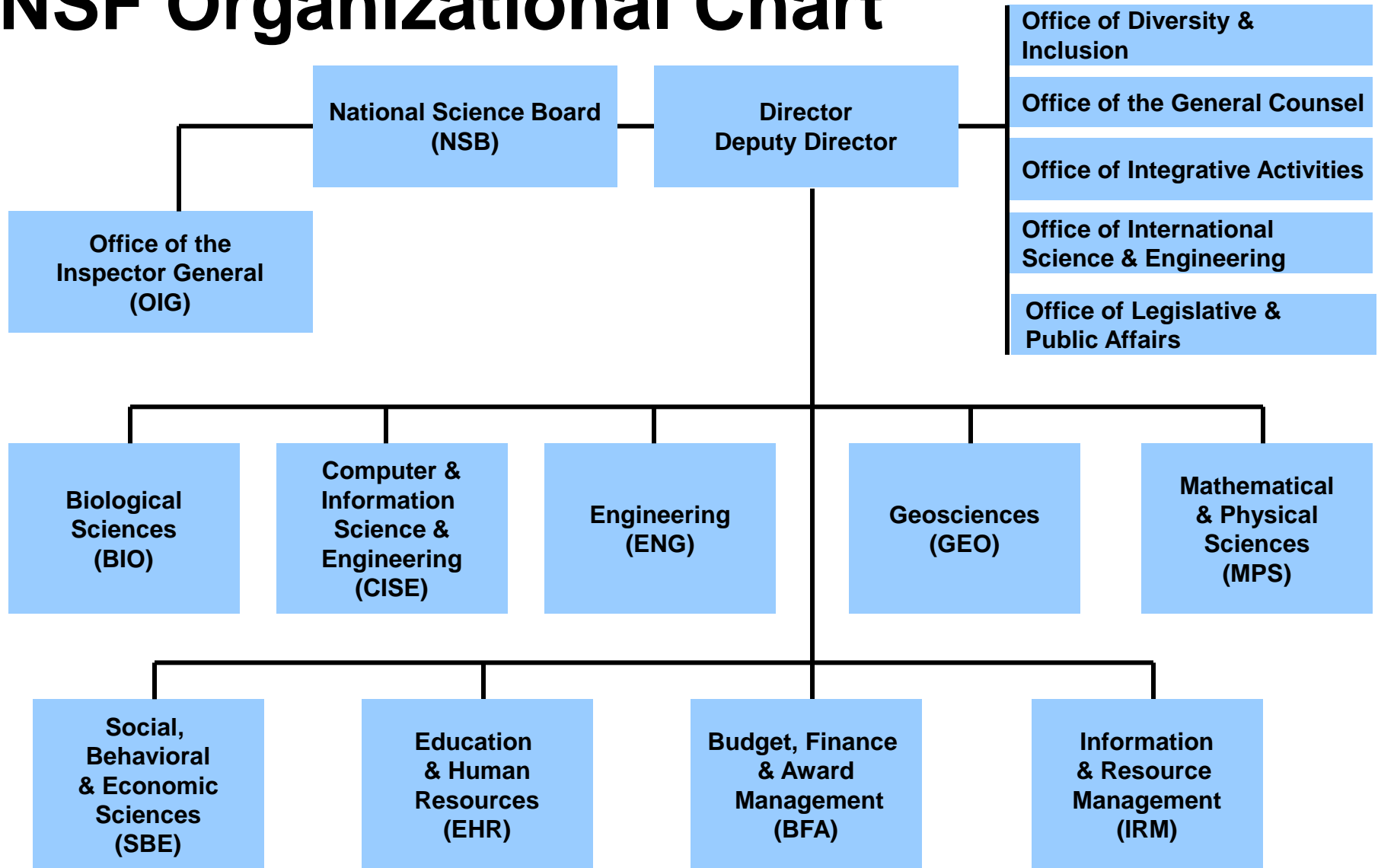


Dr. James Kurose selected as
Assistant Director for the Directorate
for Computer & Information Science
& Engineering



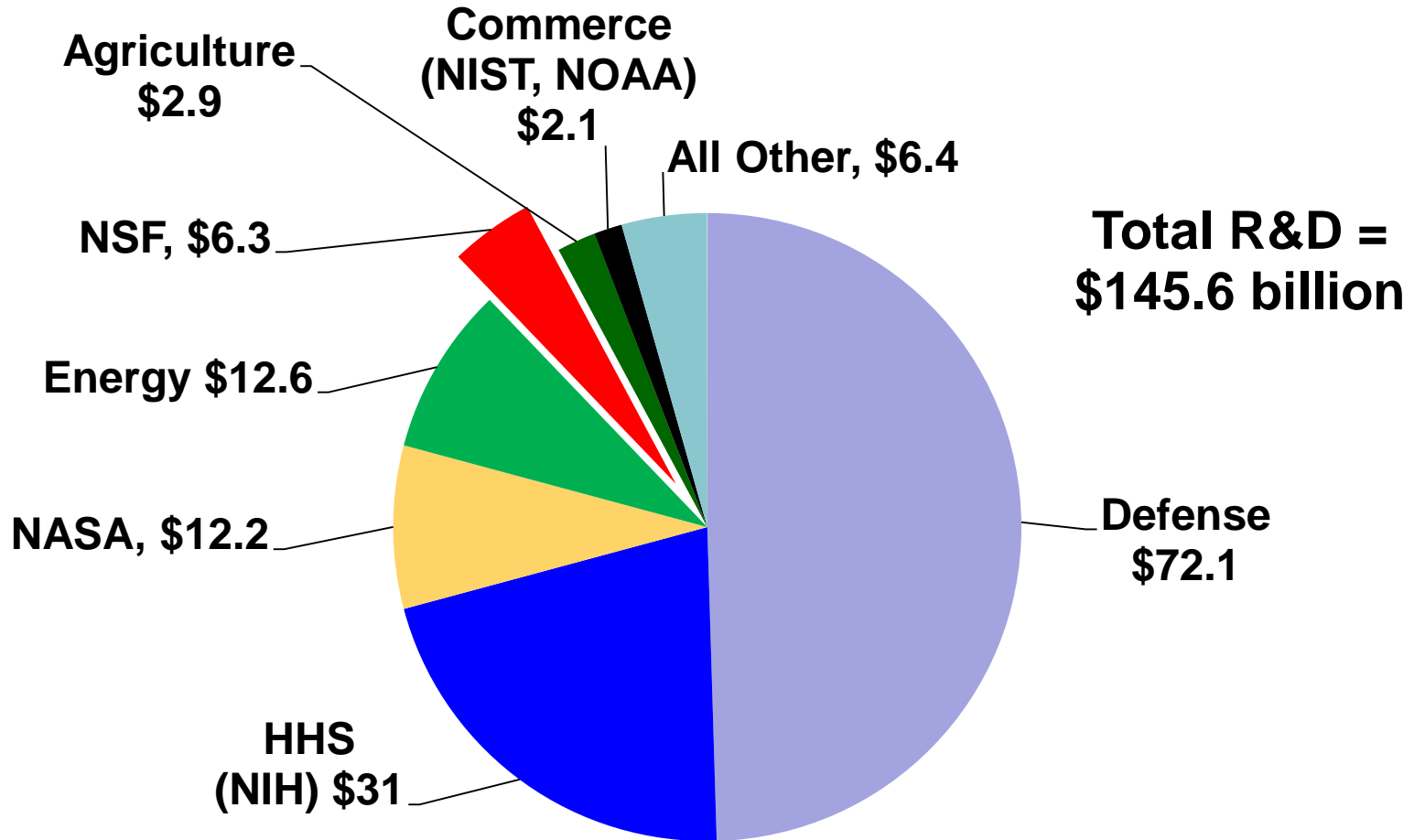
Dr. Fay Lomax Cook selected as
Assistant Director for the Directorate
for Social, Behavioral & Economic
Sciences

NSF Organizational Chart



FY 2016 Request: Total R&D by Agency

Budget Authority in Billions of Dollars



The Big Picture



FY 2016 Budget Request

Total: \$7.72 billion

Increase: \$379.34 million

5.2% over FY 2015

FY 2016 Budget Request

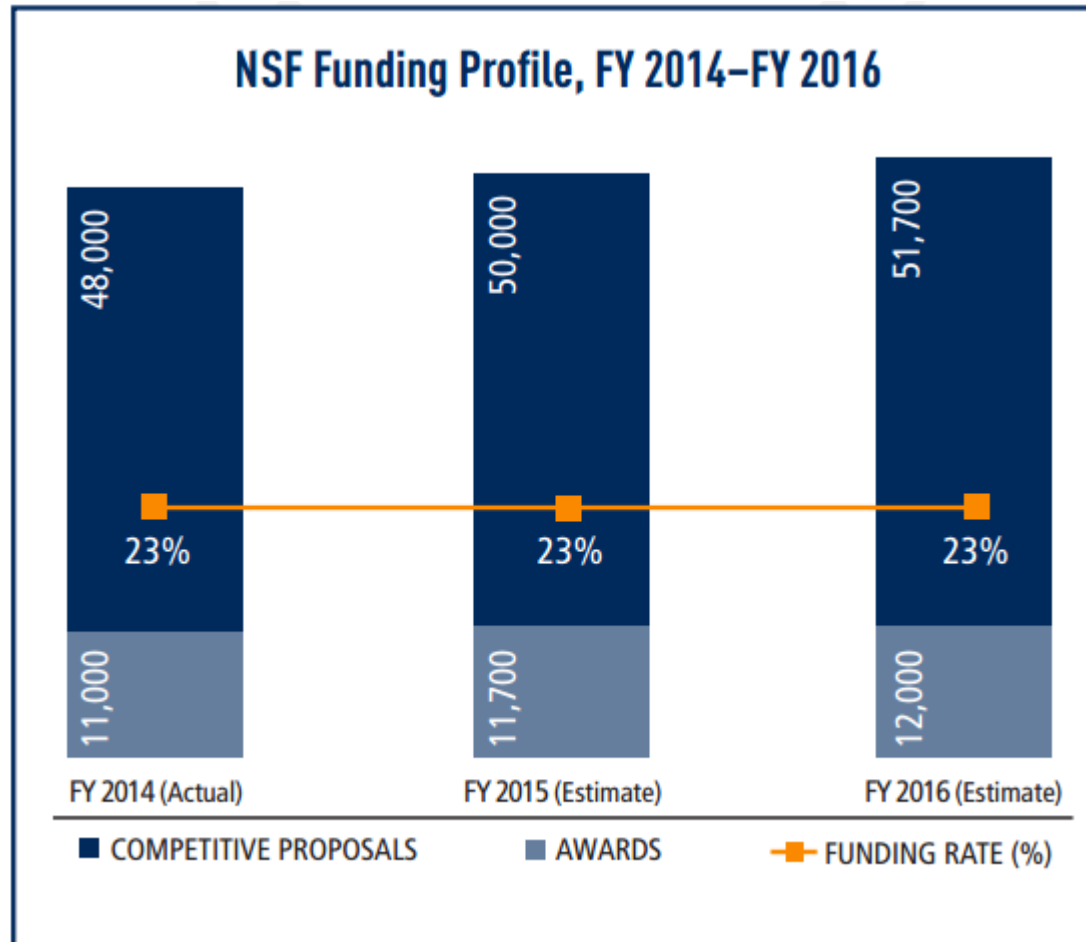
NSF Budget by Appropriation (\$ in millions)

	FY 2016 Request	Change over FY 2015	
		Amount	Percent
Research & Related Activities	\$6,186.30	\$252.66	4.3%
Education & Human Resources	962.57	96.57	11.2%
Major Research Equipment & Facilities Construction	200.31	-0.45	-0.2%
Agency Operations & Award Management	354.84	29.84	9.2%
National Science Board	4.37	*	*
Office of Inspector General	15.16	0.73	5.1%
Total NSF	\$7,723.55	\$379.34	5.2%

Totals may not add due to rounding.

* Denotes \$500,000

NSF Funding Profile, FY 2014 - 2016



Uniform Guidance Implementation by OMB

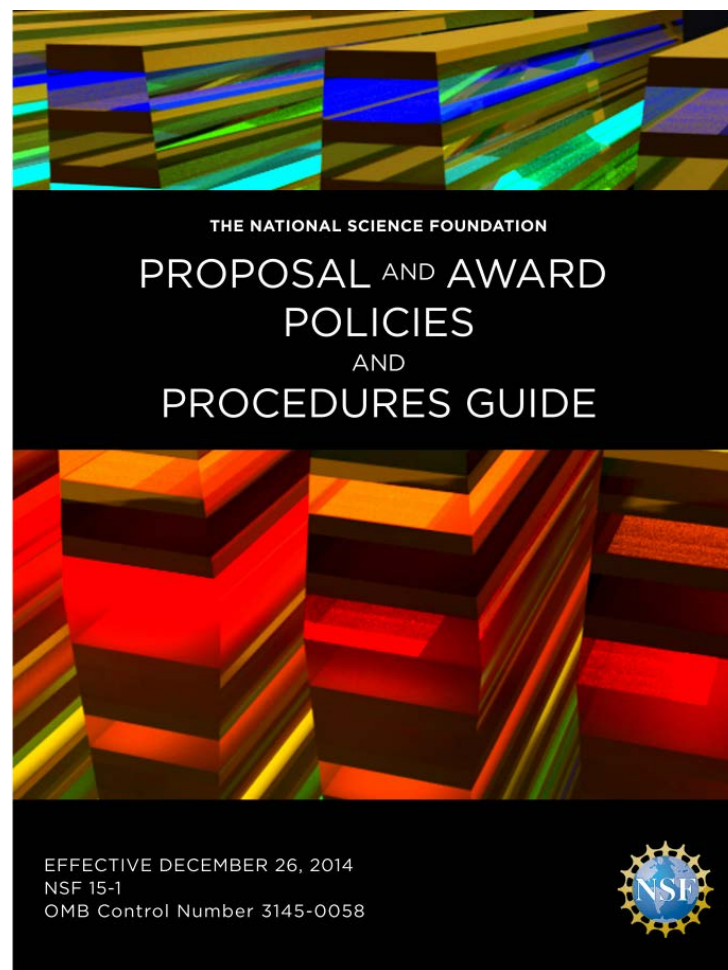
- OMB published Uniform Guidance on December 26, 2013.
- OMB released FAQs on:
 - February 12, 2014
 - August 29, 2014
 - November 2014
 - These FAQs have the full force and effect of the Uniform Guidance
- OMB conducted webinars on the Uniform Guidance on:
 - January 27, 2014
 - October 2, 2014
- OMB issued the consolidated government-wide implementation on December 19, 2014
- Visit cfo.gov/cofar/ for the latest information.

NSF's Implementation of the Uniform Guidance

- NSF received OMB approval to implement Uniform Guidance via the PAPPG.
- Draft PAPPG released for public comment through *Federal Register*, May 9 - July 8, 2014
- NSF published the PAPPG on November 20th, with an effective date of December 26, 2014
- NSF published revised award conditions on December 18, 2014

PAPPG – Policy Changes

- NSF Implementation of OMB's Uniform Guidance
- Other Significant Policy Changes



NSF – Uniform Guidance Implementation – Key Dates

- Effective for proposals submitted or due on or after December 26
- Effective for new awards and for funding amendments on existing awards made on or after December 26

PAPPG – Uniform Guidance

Significant Changes to the GPG

- Administrative and Clerical Salaries & Wages
- Travel
- Participant Support
- Materials and Supplies
- Indirect Costs
- Risk Management Framework

PAPPG – Uniform Guidance Significant Changes to the AAG

- NSF Award Conditions
- Notifications and Requests
- Cost Sharing

Uniform Guidance - NSF Deviation

- NSF's Implementation is consistent with the coverage contained in the Uniform Guidance, with the following exception:
 - **Non-Use of the Federal Financial Report Data Elements:** Award Cash Management Service (ACM\$) and NSF Program Income Reporting Worksheet implemented as NSF's primary financial data collection mechanisms

PAPPG – Other Significant Changes Grant Proposal Guide (GPG)

- Special Exceptions to Deadline Date Policy – Inclement Weather
- Budget Justification
- Ideas Lab
- Clarification on two month salaries

Revision of the Grant General Conditions (GC-1), dated December 26, 2014 -- Highlights

- In the absence of Research Terms and Conditions, the GC-1 was modified to implement the new Uniform Guidance for use with all recipient types
 - Previously, the GC-1 was used with for-profit entities and State and local governments only
- Terminology modified throughout for consistency with the Uniform Guidance
- Prior approval requirements have been updated in Article 2

Revision of the Grant General Conditions (GC-1), dated December 26, 2014 (Cont'd)

- Specific OMB FAQs have been highlighted throughout
- Participant support costs have been modified to require prior approval for additional categories of participant support costs not identified in approved budget
- Project Reporting Requirements have been clarified to specify when a report becomes “overdue”

Revision of the Grant General Conditions (GC-1), dated December 26, 2014 (Cont'd)

- Expenditure reporting modified to establish the requirement that grantees must submit final financial disbursements no later than 120 days after the grant ends in the Award Cash Management Service.
 - This overrides the 90 days period identified in the Award & Administration Guide (AAG)
- Program Income Updated for consistency with AAG

Challenges to Date

- Ensuring program and administrative staff are up to date, and, knowledgeable about the new requirements
 - This is not new to the Uniform Guidance, but, given the number of changes, it remains a challenge
- Ensuring that the NSF proposer and awardee community are up to date, and, knowledgeable about NSF's implementation of the new requirements

Frequently Asked Questions

Uniform Guidance-related

- Which awards incorporate the new Uniform Guidance requirements?
- How does an awardee know which terms and conditions apply an award?
- If an existing award receives a non-funding amendment, is the amendment subject to the Grant General Conditions (GC-1) dated December 26, 2014?
- If an existing award receives an amendment and the new GC-1 is incorporated, is it necessary to request a retroactive approval for items that normally require prior approvals?

Frequently Asked Questions

Uniform Guidance-related

- **The Grant Proposal Guide states: "No supporting documentation is required for proposed rates of 10% or less of modified total direct costs." Is it therefore acceptable to allow less than 10% of modified total direct costs? If so, is 0% acceptable?**
- **We've received budgets from subcontractors who elect not to charge F&A at all. Is a 0% F&A rate acceptable in these cases?**
- **All travel must now be justified in Line E of the budget. How detailed must this request be to meet this requirement? For instance, if the name of a conference is available but not the exact date or location, is this sufficient?**
- **When might temporary dependent care costs be allowable?**

Frequently Asked Questions

Uniform Guidance-related

Visit the Policy Office website for FAQs on NSF implementation of the Uniform Guidance



The screenshot shows the NSF website's Policy Office page. The header includes the NSF logo and the tagline "WHERE DISCOVERIES BEGIN". A navigation bar contains links for HOME, FUNDING, AWARDS, DISCOVERIES, NEWS, PUBLICATIONS, STATISTICS, ABOUT NSF, and FASTLANE. A search bar is located in the top right corner. The main content area is titled "Policy Office" and lists the head as Jean Feldman. It describes the office's role in developing and implementing proposal and award policy. A sidebar on the left lists various offices and a search function. A red circle highlights a link to "Frequently Asked Questions on NSF's Implementation of 2 CFR § 200".

Office of Budget, Finance and Award Management (BFA)

DIAS Home
CAAR Branch
Policy Office
Systems Office
View DIAS Staff
Search DIAS Staff
BFA Organization
Office of Budget, Finance, & Award Management
Budget Division

Policy Office

HEAD: Jean Feldman

The Policy Office in the [Division of Institution and Award Support](#) is responsible for developing, implementing and issuing proposal and award policy for the programs of the National Science Foundation and is available to assist you with questions involving policy related issues. Questions related to specific awards should be directed to the [Division of Grants and Agreements](#).

Grants & Cooperative Agreements:

- [Proposal & Award Policies & Procedures Guide \(PAPPG\)](#), effective December 26, 2014 - the PAPPG is NSF's implementation of 2 CFR § 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance)
- **NEW** [Frequently Asked Questions on NSF's Implementation of 2 CFR § 200](#)
 - For guidance on proposals submitted or due, and awards made before December 26, 2014, continue to reference the [PAPPG dated February 2014](#)
- [Policy & Guidance](#)

nsf.gov/bfa/dias/policy/

Automated Compliance Checking Unsolicited Proposals

Auto-compliance checks for unsolicited proposals – January 26, 2015:

- **Enforce page count rules for the following proposal sections:**
 - Project Description
 - Budget Justification
 - Mentoring Plan
 - Data Management Plan
- **Budget Checks: implement duration and requested amount compliance checks**
 - Example: maximum requested amount cannot exceed \$200,000 for a RAPID proposal
- **Enforce proposal sections depending on the funding mechanism type**
 - Example: do not enforce References Cited for a Conference proposal

Automated Compliance Checking Solicited Proposals

Auto-compliance checks for required sections in solicited proposals beginning April 24, 2015:

- **Error message if the following sections are not included**
 - Project Summary
 - Project Description
 - Budget
 - Data Management Plan
 - Mentoring Plan (if necessary)
- **Warning message if any of the following sections are not included**
 - References Cited
 - Biographical Sketch(es)
 - Budget Justification
 - Current and Pending Support
 - Facilities, Equipment and Other Resources

Research.gov: Notifications & Requests

- Functionality coming to Research.gov in April 2015
- 3 new requests established by the Uniform Guidance must be submitted in Research.gov
 - Salaries of Administrative or Clerical Staff
 - Travel Costs for Dependents
 - Additional categories of participant support costs other than those described in 2 CFR § 200.75 (such as incentives, gifts, souvenirs, t-shirts and/or memorabilia)
- All other existing N&Rs will continue to reside in FastLane and will be migrated incrementally over the next year
- Awardees can view the status of all N&Rs in both FastLane and Research.gov

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Notifications & Requests Iowa State Un

[Prepare New](#)

Items Needing Action

Showing 1 to 25 of 26 « Prev 1 2 Next>

Award Number	Award Date	Prepared by	Notification / Request Type	Status	Last Action Date	Actions
0911708	08/15/2009	Wiersema, Janice	Salaries of Administrative or Clerical Staff	Forwarded to SPO	03/11/2015	Edit Submit
1461841	09/01/2014	Neese, Barbara	Subawarding, Transferring or Contracting Out Part of an NSF Award	Work in Progress	12/02/2014	Go to FastLane

2

Features:

- ✓ “Prepare New” or view N&Rs needing action
- ✓ View all N&Rs whether created in Research.gov or FastLane
- ✓ Click the “Go to FastLane” to view N&Rs created in FastLane without signing in again
- ✓ N&Rs organized by type
- ✓ User will be taken to FastLane if they select a N&R that is not yet available in Research.gov

Prepare New Notification / Request

[Back to Notifications & Requests](#)

Notifications & Requests is in the process of moving from FastLane to Research.gov. Currently, 3 types of budget modification

Prepare New

Step 1: Select type of change

- ☒ Budget Activities
- ☐ No-Cost Extensions
- ☐ Changes in Objectives, Scope, or Methodology and other Significant Changes
- ☐ Changes in PI/PD and co-PI/PD
- ☐ Other

Step 2: Select notification / request

Change in Person-Months Devoted to Project
 Pre-award Costs in Excess of 90 Days
 Reallocation of Funds Provided for Participant Support Costs
 Rearrangements/Alterations in excess of \$25,000 (Construction)
 Salaries of Administrative or Clerical Staff
 Travel Costs for Dependents
 Additional categories of participant support costs other than those described in 2 CFR § 200.75

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Opportunity in NSF Policy Office

- Join the NSF team for a one- to two-year stint as a Policy Specialist working on proposal and award policies and procedures.
- Bring your institutional expertise to NSF and leave with an inside understanding of NSF policies.
- Announcement of Opportunity – Spring 2015

Key Documents

- **Proposal & Award Policies & Procedures Guide**
nsf.gov/publications/pub_summ.jsp?ods_key=papp
- **Fiscal Year 2016 Budget Request**
nsf.gov/about/budget/fy2016/index.jsp
- **NSF Strategic Plan for Fiscal Years 2014-2018**
nsf.gov/publications/pub_summ.jsp?ods_key=nsf14043
- **NSF Merit Review Reports**
nsf.gov/nsb/publications/pubmeritreview.jsp
- **Uniform Guidance – NSF Implementation Webinar**
nsf.gov/bfa/dias/policy/outreach.jsp#present

For More Information.....

Ask Early, Ask Often!

policy@nsf.gov